

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Dong-Jun Kim  
Jin-Ho Kim  
Yong-Kyu Lee  
Min-Soo Cho  
Eui-Youl Ryu

For (title): SEMICONDUCTOR DEVICE  
HAVING A FLASH MEMORY CELL  
AND FABRICATION METHOD  
THEREOF

1. **Type of Application** This new application is for  
a(n)

- ☐ Original (nonprovisional)  
☐ Design  
☐ Plant  
☒ Divisional.  
☐ Continuation.  
☐ Continuation-in-part (C-I-P).

2. **Benefit of Prior Application(s)**

- ☒ The new application is a divisional application of U.S. patent application no.10/039,126,  
filed on January 3, 2002, which claims priority to Korean patent application 01-4588  
filed January 31, 2001.

3. **Papers Enclosed**

21 Pages of specification

3 Pages of claims

1 Page of Abstract

19 Sheets of drawings

☒ formal

☐ informal

       Page of Cover Sheet

- ☐ The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT  
PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).

**CERTIFICATE OF MAILING**

**37 C.F.R. § 1.10**

"Express Mail" Mailing Label Number EV322655989US

I hereby certify that this paper or fee is being deposited with the  
United States Postal Service "Express Mail Post Office to  
Addressee" service under 37 CFR 1.10 on the date indicated above  
and is addressed to BOX PATENT APPLICATION, Assistant  
Commissioner for Patents, Washington, DC 20231

Date: 7-9-03

Christopher Hren  
Christopher Hren

**4. Additional papers enclosed**

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement (37 C.F.R. 1.98)
- ☐ Form PTO-1449 (PTO/SB/08A and 08B)
- ☐ Copies of cited references
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
- ☐ Special Comments
- ☒ Other: Return Postcard.

**5. Declaration or oath**

- ☒ Enclosed
  - ☐ Unexecuted
  - ☒ Executed by
    - ☒ inventors. The enclosed Declaration is a true copy of the Declaration filed in U.S. patent application serial no.10/039,126, the parent of the present divisional application.
    - ☐ legal representative of inventor(s).  
37 CFR 1.42 or 1.43.
    - ☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
    - ☐ This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item 12 below for fee.
- ☐ Not Enclosed
- ☐ Application is made by a person authorized under 37 C.F.R. 1.41 (c) on behalf of all the above named inventor(s).
  - ☐ Showing that the filing is authorized.

**6. Assignment**

- ☒ An assignment of the invention to Samsung Electronics Co., Ltd.
  - ☐ is attached. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM PTO 1595 is also attached.
  - ☐ will follow.
  - ☒ was filed in parent application U.S. serial no. 10/039,126.

**7. Certified Copy**

Certified copy(ies) of application(s)

|         |            |       |
|---------|------------|-------|
| Country | Appln. no. | Filed |
| Country | Appln. no. | Filed |
| Country | Appln. no. | Filed |

from which priority is claimed

☐ is (are) attached.

☐ will follow.

**8. Fee Calculation (37 C.F.R. 1.16)**

| CLAIMS AS FILED   |              |        |              |   |
|---|--------------|--------|--------------|---|
|   | Number filed |        | Number Extra | Rate  |
|   |              |        |              | Basic Fee<br>37 C.F.R. 1.16(a)<br><b>\$750.00</b> |
| Total   |              |        |              |   |
| Claims (37 CFR 1.16(c))                                 | 9            | - 20 = | 0            | \$ 18.00  |
| Independent   |              |        |              |   |
| Claims (37 CFR 1.16(b))                                 | 1            | - 3 =  | 0            | \$ 84.00  |
| Multiple dependent claim(s),<br>if any (37 CFR 1.16(d)) |              |        | +            | \$280.00  |

☐ Amendment canceling extra claims is enclosed.

☐ Amendment deleting multiple-dependencies is enclosed.

☐ Fee for extra claims is not being paid at this time.

Filing Fee Calculation

\$750.00

**9. Small Entity Statement(s)**

☐ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is (are) attached.

☐ Status as a small entity was claimed in prior application \_\_\_\_\_, filed on \_\_\_\_\_ from which benefit is being claimed for this application under:

35 U.S.C. ☐ 119(e),

☐ 120,

☐ 121,

☐ 365(c),

and which status as a small entity is still proper and desired.

☐ A copy of the verified statement in the prior application is included.

**Filing Fee Calculation (50% of A, B or C above)**

\$ \_\_\_\_\_

**10. Fee Payment Being Made at This Time**

☐ Not Enclosed

☐ No filing fee is to be paid at this time.

*(This and the surcharge required by 37 C.F.R. 1.16(e) can be paid subsequently.)*

☒ Enclosed

☒ Basic filing fee

\$ 750.00

☐ Recording assignment

(\$40.00; 37 C.F.R. 1.21(h))

(See attached "COVER SHEET FOR ASSIGNMENT  
ACCOMPANYING NEW APPLICATION".)

\$ \_\_\_\_\_

**Total fees enclosed**

**\$ 750.00**

**11. Method of Payment of Fees**

☒ Check in the amount of \$ 750.00

☐ Charge Account No. 50-1798 in the amount of  
A duplicate of this transmittal is attached.

\$ \_\_\_\_\_

**12. Authorization to Charge Additional Fees**

☒ The Commissioner is hereby authorized to charge the following additional fees during the entire pendency of this application to Account No. 50-1798.

☒ 37 C.F.R. 1.16(a), (f) or (g) (filing fees)

☒ 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

☐ 37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

☐ 37 C.F.R. 1.17 (application processing fees)

☐ 37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

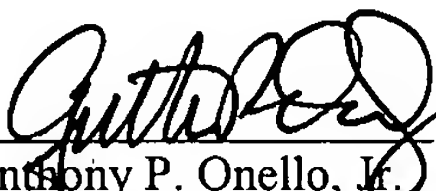
**13. Instructions as to Overpayment**

☒ Credit Account No. 50-1798

☐ Refund

Respectfully submitted,

Date: July 9, 2003  
Mills & Onello LLP  
Eleven Beacon Street, Suite 605  
Boston, MA 02108  
Telephone: (617) 994-4900  
Facsimile: (617) 742-7774  
K:\vmarakas\pending\DIVapppatentransltr.wpd

  
Anthony P. Onello, Jr.  
Registration Number 38,572  
Attorney for Applicants

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Dong-Jun Kim, *et al.*  
Filing Date: Herewith  
Serial No.: Divisional of U.S. Serial No. 10/039,126  
Title: SEMICONDUCTOR DEVICE HAVING A FLASH MEMORY CELL AND  
FABRICATION METHOD THEREOF

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CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

"Express Mail" Mailing Label Number EV322655989US I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

7-9-03

Date



Christopher J. Hren

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Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

Sir:

Enclosed herewith for filing in the above-identified patent application please find the following listed items:

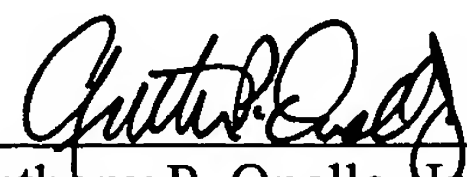
1. New Application Transmittal;
2. New Divisional Patent Application;
3. Copy of Executed Declaration, Petition and Power of Attorney;
4. Nineteen (19) Sheets of Formal Drawings (Figures 1-6, 7A-7J, 8A-8J and 9A-9J );
5. Check in the amount of \$750.00 to cover requisite fee; and
6. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-1798. A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,

Date: July 9, 2003  
Mills & Onello LLP  
Eleven Beacon Street, Suite 605  
Boston, MA 02108  
Telephone: (617) 994-4900  
Facsimile: (617) 742-7774

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Anthony P. Onello, Jr.  
Registration Number 38,572  
Attorney for Applicants